

CALIFORNIA EMERGENCY MANAGEMENT AGENCY (Cal EMA)
RECOVERY ACT PROGRAM: PROBATION SPECIALIZED UNIT PR09
PERFORMANCE ASSESSMENT / SITE VISIT REPORT

1. **GRANT AWARD NUMBER:** PR09010010 **DATE OF SITE VIST:** 06/15/2010
2. **GRANT PERIOD:** 10/01/2009 - 09/30/2010
3. **RECIPIENT/IMPLEMENTING AGENCY:** Alameda County/Probation Department
4. **PROJECT DIRECTOR:** Reginald Davis

PERSONS INTERVIEWED DURING SITE VISIT:

<u>NAME</u>	<u>TITLE</u>	<u>AGENCY</u>
Reginald Davis	Director, Adult Services	Probation Department
Debra Fong	Unit Supervisor	Probation Department
Valerie Scott	Deputy Probation Officer III	Probation Department
Lisa Mitchell Abernathy	Management Analyst	Probation Department
Loretta Chang	Analyst	Probation Department
Whilma De Dios	Sup. Financial Services Spec.	Probation Department
Patricia Hsu	Admin/Financial Service Dir.	Probation Department
Bonita Vison	Deputy Chief Probation Off.	Probation Department

Signature of Program Specialist

08/05/10

Date

Signature of Section Chief

Date

1 / 8/10/10

Signature of Project Representative Date

PERFORMANCE ASSESSMENT/SITE VISIT REPORT

A. ADMINISTRATIVE REVIEW

YES **NO** **N/A**

1. OPERATIONAL DOCUMENTS

Review hard copy/verify the ability to access on line:

- The Cal EMA Recipient Handbook (R.H.)
- The Approved Grant Award Agreement
- Is the project familiar with Office of Management and Budget, OMB Circulars which govern your organization? Circulars may be found at www.whitehouse.gov/omb/circulars.

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Comments:

2. ENVIRONMENTAL IMPACT – CEQA COMPLIANCE (R.H. Section 2153)

- Does the project have their CEQA documentation on file?

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments:

3. PROOF OF AUTHORITY (R.H. Section 1350)

- Does the project have a written authorization/resolution on file as required by the Grant Award Agreement?

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments:

4. ORGANIZATIONAL CHART

- Review the organizational chart. Are all budgeted positions included on the Organizational Chart?

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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Comments:

5. Cal EMA MODIFICATION (Cal EMA 2-223)

- Review the purpose/preparation of Grant Award Modification (Cal EMA 2-223). [R. H. Section 7500] *(Instruct the project staff on the procedure to obtain the most recent forms from Cal EMA website.)*

<input checked="" type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
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A modification is needed for the following:

- Budget changes
- Change in key personnel
- Adding/changing additional signers
- Change goals/objectives, or activities
- Address change
- Other

Comments: Their fiscal unit is working on a modification. They have savings from not starting until Nov. 15th. They will be able to fund an administrative position, space rental, etc. They also have had a change in their Chief Probation Officer.

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6. PERSONNEL POLICIES

YES NO N/A

- Are written personnel policies available to staff as required? [R. H. Section 2130] ☒ ☐ ☐
- Do policies include:
 - Maintenance of personnel files for all paid and volunteer staff including job applications, salaries, benefits, and current job duties/descriptions
 - A current Drug Free Workplace policy statement on file signed by the employee? [R. H. Section 2152]
 - Work hours
 - Compensation rates
 - Overtime
 - Leave Allowances

Comments:

7. FUNCTIONAL TIMESHEETS

- Does the project use functional timesheets for each grant funded position less than 1 FTE? OR Time Study Allocation plan updated within the last 2 years? [R. H. Section 11331] ☒ ☐ ☐
- Are timesheets (paid staff & volunteer) signed by staff & approved by supervisor? (*Review timesheets to ensure they are signed by the staff and supervisor*) ☒ ☐ ☐

Comments: Timesheets have an electronic signature, not an actual signature

8. DUTIES OF FINANCIAL OFFICER AND BOOKKEEPER

- Are the duties of the financial officer and the bookkeeper separate to ensure no one person has complete authority over a financial transaction? ☒ ☐ ☐
 - Name and title of the person who approves purchases.
 - Dennis Handis & William Fenton
 - Name and title of the person who writes checks.
 - County Auditor
 - Name and title of the person(s) who signs check
 - Patrick O'Connell

Comments:

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9. SOURCE DOCUMENTATION-Fiscal [R. H. Section 11000]

YES NO N/A

- Does the project maintain a record-keeping system which will accurately support costs claimed on Report of Expenditure and Request for Funds (Cal EMA Form 2-201)? (explain how it works)

☒ ☐ ☐

Comments: Accounting has a designated project grant number that is unique for this program, so the funds are not commingled and are kept separate from the general fund. 201s are supported with spreadsheets for salaries paid. There are also spreadsheets that document the space allocation charges, a spreadsheet documenting the cell phone usage, and a spreadsheet documenting motor vehicle usage.

10. PROJECT EXPENDITURES

- Is the project's expenditure rate commensurate with the elapsed period of the grant?
- Are the project's expenditures being made in accordance with the terms of the Grant Award Agreement?
- Is the project current with the submission of Cal EMA Form 2-201?

☒ ☐ ☐

☒ ☐ ☐

☒ ☐ ☐

Comments:

B. PROGRAMMATIC REVIEW

GENERAL

YES NO N/A

1. SOURCE DOCUMENTATION-Programmatic

- Is the project maintaining a record keeping and data collection process that will accurately support the project's reported data on the Progress Report form?
- Review the project's file system and data collection process.

☒ ☐ ☐

Comments: Recipient developed spreadsheets that the DPOs complete weekly and monthly that track all information in the grant. This is reviewed by Supervisor Debra Fong and Loretta Chang enters the information into the database.

2. OPERATIONAL AGREEMENTS

- Does the project have current Operational Agreements as required by the Grant Award Agreement? (Page 7 RFP)

☒ ☐ ☐

Comments:

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3. PROJECT STAFF DUTIES

- Interview project staff and discuss their duties and the relationship to the grant. Are employees performing duties as stated in the Grant Award Agreement?

☒ ☐ ☐

Comments:

C. SUPPLEMENTAL PROGRAMMATIC REVIEW

1. PROJECT OBJECTIVES (Request for Proposal)

- A. Are new probationers being accepted into the unit in accordance with the programs priority guidelines? (convicted of a sexual assault crime, crime downgraded from fel to misd, convicted of misd with priors)

Yes ☒ No ☐

If no, explain

- B. Are probationers contacted on a weekly basis in accordance with the program guidelines? (field contacts, office contacts, phone contacts)

Yes ☒ No ☐

If no, explain

- C. Is there a 6 month review in place for probationers whose risk factors may have changed and may need to be moved to a less intensive caseload?

Yes ☒ No ☐

If no, explain

It is being completed by the two therapy groups.

- D. Are there monthly contacts with counseling/treatment programs where the probationers are enrolled?

Yes ☒ No ☐

If no, explain

More than monthly contacts are made by email and telephone. DPOs have a close working relationship with the therapists

- E. Are there periodic drug and alcohol testing for probationers? (conditions of probation)

Yes ☒ No ☐

In many instances this is not ordered by the court. It is done for those that it is ordered for. The DPO can request a modification or probation if she thinks it's necessary.

- F. Are there periodic checks of police logs and court records for each probationer?

Yes ☒ No ☐

If no, explain

Shown on Sexual Offender Unit Grant Log, Court and Violation Information. Use Flash Notices, CORPUS, and CRIMS systems.

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- G. Have attempts been made to contact the victims at the beginning of each Probationary Period? Has each contact been made in accordance with the CALEMA program guidelines?

Yes ☒ No ☐

If no, explain

Letters are being sent to victims. In most cases 2 - 5 years has lapsed before the offender is put on probation, so the victim may not always be possible to locate. The victim in most cases has already received some kind of victim services.

- H. Does each probation officer have at least one year of specialized experience as a probation officer supervising violent offenders? (discuss/review job history)

Yes ☒ No ☐

If no, explain

Valerie Scott has been supervising sex offenders for 15 years. Chantell Curt also has many years of experience.

- I. Does the grantee utilize alternative work schedules for probation officers to allow for evening and weekend field visits with probationers?

Yes ☒ No ☐

If no, explain

- J. Has each Probation Officer completed a minimum of 12 hours of training annually specific to sexual assault, domestic violence, and/or stalking? (review any certificates)

Yes ☒ No ☐

If no, explain

- K. Is there official documentation stating that the Probation Officer(s) were facing a change in employment status? (review)

Yes ☒ No ☐

If no, explain

- L. Discuss the request for sanctions if the probationer violates his or her condition of probation in accordance with the grant guidelines.

1. Commits a new abuse or a violation of a contact order;
2. Violates substance abuse order;
3. Fails to participate in designated counseling and/or treatment program; or
4. Commits a new criminal offense (not limited to sexual assault, domestic violence, and/or stalking)

The DPO can prepare a revocation document. They can utilize a probation hold. The DA decides whether a new charge will be filed. In some instance the offender will return to court, then to custody. The DPO can ask for a modification and a modification with suspicion if they are suspicious of a violation. More conditions can be instilled upon the probationer and time can also be requested.

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3. ADDITIONAL GUIDELINES

A. Are the Probation Officers maintaining a reduced caseload in accordance with the Grant Guidelines?

Yes ☒ No ☐

If no, explain

B. Has the Unit developed and/or maintained a Specialized Unit protocol, resource referral list of victim services, and a victim contact log in accordance with the Grant Guidelines? (Review)

Yes. The program has information on various victim service agencies available and staff are able to follow the victim through the criminal justice system.

C. Is the project staff accomplishing its objectives consistent with the terms of the grant award agreement?

Yes ☒ No ☐

EXPENDITURES

A review will be conducted in regards to any training that the program has been budgeted for. Any grant funded equipment will be reviewed at the time of the site visit.

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ALAMEDA COUNTY PROBATION SPECIALIZED UNIT RECOVERY ACT PROGRAM

PR09010010

SECTION III. AMERICAN RECOVERY AND REINVESTMENT ACT OF 2009 PROGRAMMATIC REVIEW

- | | YES | NO | N/A |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|--------------------------|
| 1. Is the project aware that they must provide Cal EMA with a <u>valid</u> Data Universal Numbering System (DUNS) Number for the implementing agency and not the County's DUNS number? | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

- | | | | |
|--------------------------------------------------------------------------------|-------------------------------------|--------------------------|--------------------------|
| 2. Is the project aware of the Central Contractor Registry (CCR) requirements? | | | |
| ○ Register with a valid DUNS number; and | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Renew CCR registration yearly for the life of the grant. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

- | | | | |
|-------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|--------------------------|
| 3. Does the project understand that they report Section 1512(c) information to Cal EMA and <u>not</u> to FederalReporting.gov directly? | | | |
| ○ Report the total number of hours worked for each ARRA funded position on the Jobs Data Collection Sheet; and | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Completed Jobs Data Collection Sheets are due to Cal EMA by the 3 rd working day of each month for JAG funded programs and by the 10 th day of the each month for VOCA or VAWA funded programs. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Failure to submit Jobs Data by the due date could result in the project's award being suspended and/or revoked. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments:

- | | | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------------------------------------|--------------------------|--------------------------|
| 4. Does the project understand that by accepting the grant award, they agreed to: | | | |
| ○ Track, account for, and report on all ARRA funds (including specific outcomes and benefits attributable to Recovery Act funds) separately from all other funds, including Cal EMA award funds from non-ARRA awards awarded for the same or similar purposes or programs. (ARRA funds may be used in conjunction with other funding as necessary to complete projects, but tracking and reporting of ARRA funds must be separate.); and | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |
| ○ Accounting systems must ensure that ARRA funds are not commingled with funds from any other source. | <input checked="" type="checkbox"/> | <input type="checkbox"/> | <input type="checkbox"/> |

Comments: There is a designated project grant number unique for this program so funds are not commingled and are kept separate from the general fund.

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5. Is the project familiar with Office of Management and Budget, OMB Circulars which govern their organization? Circulars may be found at www.whitehouse.gov/omb/circulars. ☒ ☐ ☐

Comments:

6. Is the project aware that potential fraud, waste, or abuse must be promptly referred to the federal Department of Justice, Office of the Inspector General? Additional information is available from the DOJ OIG website at www.usdoj.gov/oig. ☒ ☐ ☐

Comments:

7. Is the project aware that ARRA funds cannot be used by any State or local government, or any private entity, for construction costs or any other support of any casino or other gambling establishment, aquarium, zoo, golf course, or swimming pool. ☒ ☐ ☐

Comments:

8. Does the project understand that by accepting the grant award, they:
- Agreed to provide Cal EMA, federal DOJ (including OJP and the Office of the Inspector General (OIG)), and its representatives, and the Government Accountability Office (GAO), access to and the right to examine all records (including, but not limited to, books, papers, and documents) related to ARRA funds, including such records of any subrecipient, contractor, or subcontractor; and ☒ ☐ ☐
 - Acknowledges that Cal EMA, federal DOJ and the GAO are authorized to interview any officer or employee of the recipient (or of any subrecipient, contractor, or subcontractor) regarding transactions related to this Recovery Act award. ☒ ☐ ☐

Comments:

9. Is the project aware of the Performance Measures and reporting timeline for ARRA funded programs:
- Reporting of Performance Measures will be accomplished using BJA's Performance Measurement Tool (PMT); ☐ ☐ ☒
 - PMT reports must be completed on a quarterly basis (i.e., July 15, October 15, January 15, and April 15) for the life of the grant; and ☐ ☐ ☒
 - Failure to submit PMT reports by the due date could result in the project's award being suspended and/or revoked. ☐ ☐ ☒
- (Specific to Recovery JAG funded programs only).**

Comments:

10. For existing staff positions, does the project have documentation that the position would have been eliminated if not for Recovery Act funding? ☒ ☐ ☐

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Documentation may include:

- Budget comparisons and/or projections before and after the Recovery Act award date
- Formal layoff recommendations and retractions (memos, reports) or
- Minutes of formal meetings where official budget decisions were made.

(Specific to Recovery VOCA/VAWA funded programs only).

Comments:

ADDITIONAL COMMENTS:

NOTES: Reviewed client files.

END